

**APPLICATION INSTRUCTIONS**  
**AND SUPPLEMENTAL INFORMATION**  
**FOR**  
**PERMITS**  
**UNDER THE**  
**MARINE MAMMAL PROTECTION ACT**  
**ENDANGERED SPECIES ACT**  
**FUR SEAL ACT**  
**FOR**  
**SCIENTIFIC RESEARCH OR ENHANCEMENT**

**DEPARTMENT OF COMMERCE**  
**National Oceanic and Atmospheric Administration**  
**National Marine Fisheries Service**  
**Permits, Conservation and Education Division, F/PR1**  
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## Introduction

The National Marine Fisheries Service (NMFS) and the U.S. Fish and Wildlife Service (USFWS) share responsibilities under the Marine Mammal Protection Act of 1972 (MMPA) and the Endangered Species Act of 1973 (ESA) for the management of marine mammals in the United States. NMFS has the responsibility for all cetaceans and pinnipeds (except walrus) under the two acts. NMFS has the sole responsibility under the Fur Seal Act of 1966 (FSA). A full list of the marine mammal species under the jurisdiction of NMFS is included in the supplemental information portion of these instructions. The list shows the status of each animal under the ESA and the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). Animals for which the Fish and Wildlife Service share responsibility or has sole responsibility are annotated on the list.

Under these statutes and implementing regulations, NMFS may issue permits for the taking<sup>1</sup>, importing, and exporting of marine mammals, including threatened or endangered species, for scientific purposes or to enhance the propagation or survival of such species (50 CFR Parts 216 and 217-222); and the taking, import, or export of marine mammals for purposes of scientific research, public display, enhancing the survival or recovery of a species or stock, or the taking of marine mammals by no more than Level B harassment for photography for commercial or educational purposes (50 CFR Part 216). Permits to take fur seals are issued under the MMPA and the FSA. All cited regulations apply to parts, products, specimens, and live animals.

## Activities For Which These Instructions Apply

These instructions provide the format for preparing scientific research and/or enhancement permits to take marine mammals, under the appropriate statute(s) and jurisdiction of NMFS. These instructions also may apply to threatened or endangered fish and sea turtles that, in rare instances, may be incidentally affected by a research activity primarily geared toward marine mammals (*e.g.*, acoustic studies). If the proposed research included species under NMFS jurisdiction and species under the jurisdiction of USFWS, a joint permit from NMFS and USFWS must be requested/issued.

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<sup>1</sup> Under the MMPA, the term *Take* is defined as: *To harass, hunt, capture, or kill, or attempt to harass, hunt, capture, or kill any marine mammal.*

The 1994 Amendments to the MMPA statutorily define the term *Harassment* as: *Any act of pursuit, torment, or annoyance which (i) has the potential to injure a marine mammal or marine mammal stock in the wild (Level A harassment; or (ii) has the potential to disturb a marine mammal or marine mammal stock in the wild by causing a disruption of behavioral patterns, including, but not limited to, migration, breathing, nursing, breeding, feeding, or sheltering (Level B harassment).*

Under the ESA, the term *Take* is defined as: *To harass, harm, pursue, hunt, shoot, wound, kill, trap, capture, or collect, or to attempt to engage in any such conduct.*

Application instructions for marine mammals under NMFS jurisdiction can be obtained by calling the Permit Division of the Office of Protected Resources (301/713-2289) or by accessing the NMFS website: <http://www.nmfs.gov/pr/> . Application instructions for fish and sea turtles (in the marine environment) can be obtained through the Endangered Species Division of the Office of Protected Resources (301/713-1401).

Application instructions for sea turtles (on land) and marine mammal species under USFWS jurisdiction can be obtained by calling the Office of Management Authority, USFWS (1-800-358-2104).

**These instructions do not apply to the following types of permits/authorizations:**

- ! Public Display under the MMPA;
- ! Commercial/Educational photography under the MMPA;
- ! Scientific purposes under the ESA involving fish;
- ! Scientific purposes under the ESA involving sea turtles;
- ! Scientific research permits under the MMPA for marine mammals only under USFWS jurisdiction (sea and marine otters, walrus, manatees, dugongs and polar bears); and
- ! General Authorization for Level B harassment of marine mammals under the MMPA. (See additional information section below).

## **Guidelines for Using These Instructions**

### **Give Complete Information**

An application must be complete before the Permits Division, Office of Protected Resources (F/PR1) can forward it to reviewers and publish a Notice of Receipt in the *Federal Register*. Incomplete applications will not be processed; instead, additional information will be requested or the application will be returned. Therefore, please provide complete and specific information. When a question does not apply, do not overlook the section, but indicate Not Applicable (N/A). A brief explanation as to why the category is not applicable will expedite processing.

It is often helpful to draft an application and send it to NMFS for review prior to mailing your application. If possible, please send the draft electronically (contact the F/PR1 office for a current email address) to save on paper and mailing. Appropriate NMFS permits staff will review your application and assist you in creating a complete application. Once complete, a signed copy should be mailed.

Processing of a complete application for non-ESA listed species usually requires 120 days from submission to final action and includes a 30-day public comment period. Applications involving ESA-listed species may take up to eight months to process. ***Applicants are urged to submit MMPA applications at least 6 months prior to the planned initiation of research, and MMPA/ESA applications at least 1 year prior to the planned research.***

## **Applicants Who Currently Hold or Have Previously Been Issued a Permit**

If an applicant currently holds a permit to take marine mammals, or has held a permit in the past, the new application will not be processed until all reports required to date under such permits have been submitted.

## **Permit Amendments**

Scientific research permits may be amended by the Director, Office of Protected Resources. Requests for amendments to permits should be submitted in writing to the Chief, Permits Division, Office of Protected Resources (F/PR1), and should address all applicable sections of these instructions, including a detailed description of the proposed changes. Amendment requests involving an increase in number, changes of location or species, or more intrusive activities are subject to a 30-day public review and are granted or denied at the discretion of the Director, Office of Protected Resources. Amendment requests must be endorsed and signed by the principal investigator named in the permit. Less intrusive activity or minor changes not involving numbers, species, or locations may be authorized at the discretion of the Director without public review.

## **Permit Fees:**

Section 104(g) of the MMPA provides the authority to establish and charge a reasonable permit fee; however, there is no fee at this time.

## **ADDITIONAL INFORMATION**

### ***General Authorizations (GA):***

As noted in footnote 1, the 1994 Amendments to the MMPA, two levels of harassment have been defined: **Level A and Level B**. For scientific research activities which do not exceed **Level B Harassment** (*i.e.*, photo-id, behavioral study) on **non-ESA listed species**, there is now a General Authorization (GA) for Scientific Research. Interim Final Regulations establishing the GA (50 CFR 216.45) were published in the Federal Register on October 3, 1994 (59 F.R. 50372) and are available on our website (<http://www.nmfs.gov/pr/>). If an applicant is planning to conduct scientific research on marine mammals that will involve only **Level B Harassment** (*i.e.*, photo-id, behavioral study), the applicant should refer to the website or contact the Permits Division, Office of Protected Resources for assistance.

**IMPORTANT:** The GA does NOT apply to marine mammal species designated as endangered or threatened under the ESA. Authorization to take ESA-listed species can only occur pursuant to a scientific research permit authorized under the ESA, even if the proposed activities do not exceed Level B Harassment.

**In the event that the proposed research involves either (1) ESA listed and non-ESA listed species, and/or (2) both Level A and Level B harassment activities, the scientific research permit requirements take precedence over the GA.**

***CITES Import/Export Permits:***

United States regulations require that imports or exports of wildlife listed on the appendices to the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) be accompanied by the proper CITES permit or documentation. This is in addition to the required permits under the ESA and, as applicable, the MMPA. The U.S. agency responsible for implementing CITES is the Office of Management Authority, U.S. Fish and Wildlife Service (1-800-358-2104), <http://permits.fws.gov/>. The CITES status of endangered species and marine mammals under NMFS jurisdiction is indicated on the attached species list. Please note that all cetaceans are included on either Appendix I or II.

***Animal Welfare Act (AWA):***

The U.S. Department of Agriculture's Animal and Plant Health Inspection Service (USDA/APHIS), has responsibility under the AWA for captive warm-blooded animals, including marine mammals, and has established regulations and standards for animal care, including "Specifications for the Humane Handling, Care, Treatment, and Transportation of Marine Mammals (9 CFR Ch 1, Subpart E)." Most U.S. facilities maintaining marine mammals are required to be licensed or registered by APHIS. For information concerning the AWA and its requirements and the name and address of the Veterinarian in Charge in the State concerned, contact the Regulatory Enforcement and Animal Care staff, USDA/APHIS (301/734-7833) or <http://www.aphis.usda.gov/>.

***Beached/Stranded Animals:***

NMFS encourages the use of healthy rehabilitated beached/stranded animals in lieu of taking animals from wild populations. Where a captive marine mammal is necessary for the conduct of scientific research, particularly in the case of U.S. coastal pinnipeds, such as California sea lions (*Zalophus californianus*), applicants must justify the need for capturing animals from the wild rather than obtaining them from rehabilitated beached/stranded stock. For information on the availability of these animals contact the appropriate NMFS Regional Office (see attached list).

# INSTRUCTIONS

PLEASE READ the INTRODUCTION, the INSTRUCTIONS, and the SUPPLEMENTAL INFORMATION BEFORE preparing your application. Reading these sections FIRST will save you time and help you avoid common errors.

**Information should be presented in the following categories. If a section or question does not apply, indicate Not Applicable (N/A) with a brief, but complete, explanation as to why.**

## **I. Title of the Application**

Please select a title from below as appropriate. If the application is submitted under more than one Act or for more than one purpose, please select a combination as appropriate --

- A. Application for a Permit for Scientific Research or to enhance the survival or recovery of a stock under the Marine Mammal Protection Act;
- B. Application for a Permit for Scientific Purposes or to enhance the survival or recovery of a stock under the Endangered Species Act;
- C. Application for a Permit for Scientific Research under the Marine Mammal Protection Act and the Fur Seal Act.

## **II. Date of the Application**

## **III. Applicant**

- A. **Applicant, PI, CI, Personnel Directly Involved in Taking**: State complete name, address, telephone number, and institutional affiliation, if any, of the Applicant, Principal Investigator (PI), if other than the Applicant, as well as all Co-Investigators (CI). List any other persons to be directly involved in the taking/capture, import, or export.

*NOTE: Please refer to the Glossary of personnel terms.*



If the Applicant is an institution, partnership, or corporation, describe the relationship between this entity and the PI. If the primary contact is other than the PI, please include the name, address, and telephone number.

A fax number and/or internet mail address will help permit processing.

- B. Qualifications and Experience:** Provide a curriculum vitae (CV) describing the qualifications and experience of the PI and any CI(s) who will be responsible for the taking. CV's should include a list of publications and a description of experience relevant to the proposed research.

**IV. Description of the Marine Mammals to be Taken and/or Imported and the Proposed Activity**

- A. Abstract:** Provide an abstract of 200 words or less of the proposed research project, emphasizing the research objectives including the hypothesis(es) to be tested and the manner in which such activity involves the taking, import, or export of marine mammals, or part(s). Include the kind and number of marine mammals to be taken annually, methods of take, locations, and duration of project.

**B. Summary of Marine Mammals to be Taken, Imported, or Exported:**

- 1. Species Name(s):** List the species (common and scientific names) and, as applicable, the subspecies or population group that may be taken. List any species that may be incidentally taken (*e.g.*, disturbed or incidentally caught) during the course of your proposed activities (*i.e.*, non-target species), including non-marine mammal species such as sea turtles and sea birds. **Use Section IV.C.2. to provide additional required information.**
- 2. Parts or Specimen Samples:** Where the proposed activity involves marine mammal parts or specimen samples, list the part(s)/sample(s) that will be taken, imported, or exported. **Use Sections IV.C.3 and IV.C.4. to provide additional required information.**
- 3. Status of Affected Stock(s):** Provide a summary of the best available information concerning the status of the affected species or stock(s) and factors affecting this status (cite sources). Species information may be found at the following web sites:

[http://www.nmfs.noaa.gov/pr/PR2/Stock\\_Assessment\\_Program/sars.html](http://www.nmfs.noaa.gov/pr/PR2/Stock_Assessment_Program/sars.html)

<http://www.nmfs.noaa.gov/pr/species/>

**C. Detailed Description of the Proposed Research or Enhancement Activity:**

1. **Duration of the Project and Locations of Taking:** The overall duration of the research project including the dates and locations of the proposed taking, import, or export. Dates and locations should be identified as specifically as possible, including ports of entry/export. Clearly indicate the start date of your research.

*NOTE: Permits may be issued for a maximum of 5 years, after which a new permit or amendment must be requested.*

2. **Types of Taking Involved and Estimate of Number(s) of Animals that May be Taken:** Provide a description of the activities that will be conducted (*e.g.*, aerial surveys, vessel surveys, photo-identification, tagging, biopsy sampling, capture/maintaining, *etc.*) and the species and number of animals that may be taken by Level A or Level B harassment during the course of those activities. **Clearly indicate the maximum number and species of animals that may be taken, as well as the actual or estimated age (*i.e.*, neonate, pup/calf, juvenile, adult), size, sex, and reproductive condition of the animals at the time of taking, import, or export. State whether the animals will be taken more than once and the frequency of the take; and whether the same animals will be taken in more than one manner, and if so, how.**

*It is important to account for multiple takes per individual animal. For example, a researcher working with 120 harbor seals may want to flipper tag all 120, bleach mark 70, collect blood samples from 50 and attach satellite tags to 20. It is important to explain how many individuals would have all these procedures vs. how many would only have some of the procedures.*

Submit a matrix or table that clarifies species, numbers, takes, activities, age/sex class, and locations.

Include a justification of the proposed sample size(s) for each type of take. For certain activities (*e.g.*, acoustic experiments or non-traditional research) a power analysis showing statistical significance will expedite processing.

3. **Research and/or Enhancement Techniques:** Provide a description of the techniques and equipment to be used to approach, capture, restrain, mark, tag, collect tissues and other samples, *etc.* Information provided should include but is not limited to: (a) the kinds, numbers, and sizes of samples to be taken and the sampling method; (b) the marks, electronic or visual tags, or other attached instruments to be used, including their dimensions, weights, method of application, location of attachment, the expected duration of attachment, and method of release; (c) any drugs or other substances to be used, including the name, dosage, purpose, and method of administration; (d) frequency and period of time each animal may be restrained and the method of restraint; (e) methods of tissue sampling and types of samples to be taken from each animal; and/or (f) in the case

where unweaned pinniped pups will be taken, identify measures that will be used to ensure pups are returned to their mothers.

*NOTE: This section should clearly describe how the research objectives will be met.*

4. **Removing a Marine Mammal from the Wild:** If the proposed activity involves removing a marine mammal from the wild and a captive stock of the species concerned is available, an explanation why suitable animal(s) cannot be obtained from captive stock.
5. **Taking of Marine Mammal Parts or Specimen Samples:** If the activity involves the taking of marine mammal parts, provide a description of the part(s) including the number of coding where such part(s) have been labeled or have otherwise been marked previously; the original source of the part(s) (*e.g.*, beached or stranded animals, captive animals, animals obtained from the wild, imported, or unknown); the location and date of original collection; and the name/identity of the collector, if known.

Provide a description of what arrangements have been made, if any, for their disposition. For example, describe arrangements made with a museum or other institutional collection to ensure that hard and soft tissues of present or potential future interest will remain available for scientific research or enhancement purposes. Please note that NMFS has established a National Marine Mammal Tissue Bank that is a source and repository of material for qualified researchers. For more information contact the Director, Office of Protected Resources (301) 713-2319.

*NOTE: Permits cannot be issued for personal collections of marine mammal parts or specimen samples.*

6. **Import/Export of Marine Mammals/ Marine Mammal Parts:** If applicable, describe the import/export of marine mammals or parts, including: The country of exportation (*i.e.*, the country from which the marine mammal or marine mammal part is to be imported into the United States) and the country of origin (*i.e.*, the country where the animal was originally taken from the wild) if different from the country of exportation. For exports, provide the destination country.

Provide a description of how the marine mammal(s) or marine mammal part(s) to be imported was taken in the country of origin. State whether the animals were, at the time of taking, either pregnant or lactating, or either unweaned or less than eight months old, whichever occurred later. If so, provide full justification for taking marine mammals under such circumstances. If the marine mammal(s) or marine mammal part(s) was subsequently exported to a country different from the country of origin, cite the date(s), and the manner and circumstances under which it was imported into the country of exportation.

If the import is necessary for the protection or welfare of the marine mammals, discuss the circumstances involved and any alternatives considered.

7. **Research on Captive Animals:** In addition to the information requested in Section C.1-6 (above) submit as applicable for captive animals (*i.e.*, animals are to be collected from the wild permanently or temporarily, are already captive, or are beached/stranded animals):
- (a) A detailed description of the manner of capture, including gear to be used;
  - (b) A description of the pen, tank, container, cage, cradle, or other device used post-capture and thereafter during transportation to the holding or permanent facility. Describe the mode of transportation, special care during transport, and the length of time required for the transfer from the capture site to initial holding facility and then to the permanent facility;
  - (c) If the source stock is to be beached/stranded marine mammals, indicate the name and location of the rehabilitation facility;
  - (d) If the source stock is from marine mammals already in captivity (other than beached/stranded animals) indicate the name and location of the facility, and identify the specific animals involved in the proposed activity;
  - (e) A copy of any license or registration issued by the Animal and Plant Health Inspection Service (APHIS) of the U.S. Department of Agriculture, any outstanding variances granted by APHIS, and the most recent APHIS inspection report;
  - (f) The comments and recommendations of any relevant Institutional Animal Care and Use Committee established under the Animal Welfare Act (AWA) (7 U.S.C. 2131 et seq.);
  - (g) A written statement from the responsible veterinarian certifying that the facilities, methods of care and maintenance, and methods of transport will be adequate to ensure the well-being of the marine mammals and comply with all applicable care and transport standards established under the AWA;
  - (h) If release of captive marine mammals to the wild is proposed, state the length of time the animals will be held, and describe the protocols for the release addressing mitigation measures for the following concerns:
    - disease transmission between both released animals and the wild population;
    - unwanted genetic exchanges between introduced and endemic stocks;
    - ability of the released animals to forage and protect themselves from predators; and
    - elimination of behavioral patterns acquired during captivity that could prove detrimental to the released animals or the social structure of local populations.

8. **Background and Review of Research:** A description of the background and a review of the current knowledge of the problem under investigation. Indicate relevant literature (with citations) and an explanation of the rationale for the methodology. The description should include the expected nature and significance of research results and how the activities being requested support an overall research plan.
9. **Lethal Take:** If an intentional lethal take is involved, an explanation of why a nonlethal method is not feasible and how the research results will directly benefit the species or stock, or fulfill a critically important research need.

***IMPORTANT:** If unintentional mortality is possible, show the maximum number of animals from each species that may be killed per year.*

10. **Research and/or Enhancement on Endangered Species:** If the research involves a species or stock listed as endangered or threatened under the ESA, or designated as depleted under the MMPA, provide an explanation of why the proposed research cannot be conducted using an alternative species or stock. Explain how the expected results would benefit the species or stock or contribute significantly to fulfilling a critically important research need. For example, explain how the research or enhancement contributes to the objectives identified in the species recovery or conservation plan.

**D. Describe the Anticipated Effects of the Proposed Activity:** Provide a description of the effects of the proposed taking, import, or export, including:

1. **Effects on Individual Animals;**
2. **Effects of Incidental Harassment;**
3. **Effects on Stocks;**
4. **Stress, Pain, and Suffering:** If the proposed research will or may cause stress, pain, or suffering, explain why there are no feasible alternative methods for obtaining the data or information being sought. Describe any measures to be taken to minimize such adverse effects of the research and to ensure that the taking or other permitted activity will be conducted in a humane manner. If the applicant has consulted with an Institutional Animal Care and Use Committee or similar oversight group, include their assessment, advice or recommendations concerning the proposed research;
5. **Measures to Minimize Disturbance:** Specify what the applicant considers necessary and unnecessary and inappropriate disturbance, what will be done to avoid or minimize disturbance, what criteria will be used to judge when disturbance occurs, and what will be done if evidence of disturbance is observed, *e.g.*, back away if there is any evidence of avoidance, terminate activities after the first, second, or third incident of altering approach speed or course in response to animals attempting to avoid approach, etc.;

6. **National Environmental Policy Act (NEPA) Considerations:** Under the National Environmental Policy Act (NEPA), NMFS is required to determine if an Environmental Assessment (EA) or an Environmental Impact Statement (EIS) is required, or if the research activity is categorically excluded from the requirement to prepare an EA or EIS. In order for NMFS to make this determination, describe whether:

- (a) The research involves new, innovative, controversial, or experimental equipment or techniques;
- (b) the research techniques are likely to be adopted by other researchers;
- (c) the location in which the research will be conducted is of special importance to other marine mammals;
- (d) the proposed activities involve unique or unknown risks or whether the likely effects are highly uncertain;
- (e) any aspect of the research possibly affects the public health or safety of humans;
- (f) the activity may have a significant cumulative effect, considering existing and potential activities;
- (g) the activity causes loss or destruction of significant scientific, cultural, or historic resources;
- (h) there will be an adverse effect on endangered or threatened populations or stocks or their habitat;
- (i) the activity is in violation of a Federal, State, or local law for environmental protection.

E. **Publication of Results:** Indicate where and, if possible, when the research results are expected to be published or otherwise made available to the public and the scientific community.

## **F. Proposal and Previous and Other Permits:**

1. **Formal Research Proposal:** A copy of the formal research proposal or contract, if one has been prepared. Please note that activities discussed in the research proposal that require a permit will not be considered unless they have been specifically requested in the application. Applicants who are employed by NOAA should state how the project fits in with NOAA's Strategic Plan, citing the objective and the element.
2. **Sponsors and Cooperating Institutions:** If applicable, provide the names and addresses of cooperating institutions and individuals.
3. **Previous Permits:** If issued previous permits for the taking, import, or export of marine mammals and a final report has not yet been submitted, ensure that all required reports to date have been submitted.
4. **Other Permits:** Indicate whether other Federal and State permits (*e.g.*, Fish and Wildlife Service, NOAA Marine Sanctuaries, the Army Corps of Engineers) are being sought in connection with the requested research. Please note that research in the coastal zone surrounding various states including Alabama, Hawaii, Washington, and Guam and the Commonwealth of the Northern Marianas, must meet the criteria for Coastal Zone Consistency before a permit can be issued. These jurisdictions have up to six months to make a determination of consistency. It is the applicant's responsibility to seek this determination. Please state in the application if such a determination has been sought and when a decision is expected.

## **V. Special Considerations for Applicants Working Abroad (for Exports of Parts/Samples or Live Animals from the U.S.)**

Foreign applicants requesting the export of marine mammals, or marine mammal parts/products from the United States, must submit their applications to NMFS through the appropriate agency of the foreign government (*e.g.*, the CITES management authority). The appropriate agency of the foreign government must certify the accuracy of the information submitted in the application.

Additionally, if the application is for the export from the United States of **living animals** subject to the MMPA, ESA, or FSA, then the appropriate agency of the foreign government must certify that:

the laws and regulations of the government involved allow the enforcement of requirements equivalent to the requirements of the ESA, MMPA, FSA, and AWA, as applicable, and that government will enforce such requirements.

## VI. Certification and Signature

The following Certification, followed by the Signature, Name, and Title of the Applicant or responsible party, must be submitted as the concluding section of the application.

**"I hereby certify that the foregoing information is complete, true, and correct to the best of my knowledge and belief. I understand that this information is submitted for the purpose of obtaining a permit under one or more of the following statutes and the regulations promulgated thereunder, as indicated in Section I. of this application:**

**The Endangered Species Act of 1973 (16 U.S.C. 1531-1543) and regulations (50 CFR 222.23(b)); and/or**

**The Marine Mammal Protection Act of 1972 (16 U.S.C. 1361-1407) and regulations (50 CFR Part 216); and/or**

**The Fur Seal Act of 1966 (16 U.S.C. 1151-1175).**

**I also understand that any false statement may subject me to the criminal penalties of 18 U.S.C. 1001, or to penalties provided under the Endangered Species Act of 1973, the Marine Mammal Protection Act of 1972, or the Fur Seal Act of 1966, whichever are applicable."**

**Signature of Applicant and Date of Signature**

**Typed or Printed Name of Applicant**

**Title of Applicant**

### WHERE TO SEND APPLICATIONS

**[ In addition to the hard copies of the application, submission of an electronic version on disk in either WordPerfect or Word will facilitate processing.]**



Submit a signed original and two signed copies of the completed application to:

Chief, Permits Division, F/PR1  
Office of Protected Resources  
National Marine Fisheries Service  
1315 East-West Highway, Room 13705  
Silver Spring, Maryland 20910



All permit documentation including the application, permit and amendments, reports, and inventory information required herein, is considered public information and as such, is subject to the Freedom of Information Act (FOIA). All responses to the collection of information are required to obtain a permit.

### **Public Reporting Burden**

Public reporting burden for this collection of information is estimated to average 29 hours per response, including the time for reviewing instructions, search existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to the Office of Protected Resources, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, MD 20910. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless the collection of information displays a currently valid Office of Management and Budget (OMB) Control Number.

## **Glossary of Terms**

**Applicant/ Permit Holder** - Person, institution, or agency who is ultimately responsible for all activities of any individual who is operating under the authority of the permit.

**Principal Investigator (PI)** - The individual primarily responsible for the taking, importation, export, and any related activities conducted under the permit issued for scientific research or enhancement.

**Co-investigators (CI)** - The on-site representative of the PI. Conducts or directly supervises the conduct of the taking, import, and export activities authorized under a Permit.

**Research Assistants** - Individuals who work under the direct supervision of the PI and/or CI (i.e., the **Researchers**), and who are authorized to record data and serve as safety observers and boat tenders.

<p align="center"><b>Marine Mammal Species Under NMFS Jurisdiction</b></p> <p align="center"><b>Including Status under the MMPA, ESA and CITES</b></p> <p align="center"><b>SPECIES LIST</b></p>			
<b>Scientific Name</b>	<b>Common Name</b>	<b>MMPA, ESA Status</b>	<b>CITES App.</b>
<b>Cetacea</b>	<b>The Whales, Dolphins and Porpoises</b>		
<b>Mysticeti</b>	<b>The Baleen Whales</b>		
<b>Balaenidae</b>	<b>The Bowhead and Right Whale Family</b>		
<i>Balaena mysticetus</i>	Bowhead whale	D and E	I
<i>Eubalaena australis</i>	Southern right whale	E	I
<i>Eubalaena glacialis</i>	Northern right whale	E	I
<b>Balaenopteridae</b>	<b>The Rorqual Family</b>		
<i>Balaenoptera acutorostrata</i>	Minke whale		I
<i>Balaenoptera borealis</i>	Sei whale	E	I
<i>Balaenoptera edeni</i>	Bryde's whale		I
<i>Balaenoptera musculus</i>	Blue whale	E	I
<i>Balaenoptera physalus</i>	Finback whale	E	I
<i>Megaptera novaeangliae</i>	Humpback whale	E	I
<i>Rorqual HYBRID</i>	Rorqual HYBRID		
<b>Eschrichtiidae</b>	<b>The Gray Whale Family</b>		
<i>Eschrichtius robustus</i>	Gray whale (Eastern Pacific)	R	I
<i>Eschrichtius robustus</i>	Gray whale (Western Pacific)	E	I
<b>Neobalaenidae</b>	<b>The Pygmy Right Whale Family</b>		
<i>Caperea marginata</i>	Pygmy right whale		I
<b>Odontoceti</b>	<b>The Toothed Whales, Dolphins and Porpoises</b>		
<b>Delphinidae</b>	<b>The Dolphin Family</b>		
<i>Cephalorhynchus commersonii</i>	Commerson's dolphin		II
<i>Cephalorhynchus eutropia</i>	Black dolphin		II
<i>Cephalorhynchus heavisidii</i>	Heaviside's dolphin		II
<i>Cephalorhynchus hectori</i>	Hector's dolphin		II
<i>Delphinus delphis</i>	Common dolphin; Saddleback dolphin		II
<i>Feresa attenuata</i>	Pygmy killer whale		II
<i>Globicephala macrorhynchus</i>	Short-finned pilot whale		II
<i>Globicephala melas</i>	Long-finned pilot whale		II

<i>Grampus griseus</i>	Risso's dolphin		II
<i>Lagenodelphis hosei</i>	Fraser's dolphin; Sarawak dolphin		II
<i>Lagenorhynchus acutus</i>	Atlantic white-sided dolphin		II
<i>Lagenorhynchus albirostris</i>	White beaked dolphin		II
<i>Lagenorhynchus australis</i>	Peale's dolphin		II
<i>Lagenorhynchus cruciger</i>	Hourglass dolphin		II
<i>Lagenorhynchus obliquidens</i>	Pacific white-sided dolphin		II
<i>Lagenorhynchus obscurus</i>	Dusky dolphin		II
<i>Lissodelphis borealis</i>	Northern right whale dolphin		II
<i>Lissodelphis peronii</i>	Southern right whale dolphin		II
<i>Orcaella brevirostris</i>	Irrawaddy dolphin		II
<i>Orcinus orca</i>	Killer whale; Orca		II
<i>Peponocephala electra</i>	Melon-headed whale		II
<i>Pseudorca crassidens</i>	False killer whale		II
<i>Sotalia fluviatilis</i>	Tucuxi		I
<i>Sousa chinensis</i>	Indo-Pacific humpbacked dolphin		I
<i>Sousa teuszii</i>	Atlantic humpbacked dolphin		I
<i>Stenella attenuata</i>	Pantropical spotted dolphin (except Northeastern offshore)		II
<i>Stenella attenuata</i>	Pantropical spotted dolphin (Northeastern offshore)	D	II
<i>Stenella clymene</i>	Clymene dolphin		II
<i>Stenella coeruleoalba</i>	Striped dolphin		II
<i>Stenella frontalis</i>	Atlantic spotted dolphin		II
<i>Stenella longirostris</i>	Spinner dolphin (Hawaiian, Worldwide except ETP)		II
<i>Stenella longirostris</i>	Spinner dolphin (ETP - Eastern Tropical Pacific)	D	II
<i>Steno bredanensis</i>	Rough-toothed dolphin		II
<i>Tursiops truncatus</i>	Bottlenose dolphin (except Mid Atlantic coastal migratory stock)		II
<i>Tursiops truncatus</i>	Bottlenose dolphin (Mid Atlantic coastal migratory stock)	D	II
<i>Dolphin HYBRID</i>	Dolphin HYBRID		
<i>Monodontidae</i>	The Narwhal and White Whale Family		
<i>Delphinapterus leucas</i>	Beluga whale; white whale		II
<i>Monodon monoceros</i>	Narwhal		II
<i>Phocoenidae</i>	The Porpoise Family		
<i>Australophocaena dioptrica</i>	Spectacled porpoise		II
<i>Neophocaena phocaenoides</i>	Finless porpoise		I

<i>Phocoena phocoena</i>	Harbor porpoise		II
<i>Phocoena sinus</i>	Vaquita; Cochito	E	I
<i>Phocoena spinipinnis</i>	Burmeister's porpoise		II
<i>Phocoenoides dalli</i>	Dall's porpoise		II
<i>Porpoise HYBRID</i>	Porpoise HYBRID		
<b>Physeteridae</b>	<b>The Sperm Whale Family</b>		
<i>Kogia breviceps</i>	Pygmy sperm whale		II
<i>Kogia simus</i>	Dwarf sperm whale		II
<i>Physeter catodon</i>	Sperm whale	E	I
<b>Platanistidae</b>	<b>The River Dolphin Family</b>		
<i>Inia geoffrensis</i>	Amazon River dolphin		II
<i>Lipotes vexillifer</i>	Chinese River dolphin; Beiji	E	I
<i>Platanista gangetica</i>	Ganges River dolphin; Ganges susu		I
<i>Platanista minor</i>	Indus River dolphin; Indus susu	E	I
<i>Pontoporia blainvillei</i>	Franciscana; La Plata River dolphin		II
<b>Ziphiidae</b>	<b>The Beaked Whale Family</b>		
<i>Berardius arnuxii</i>	Arnoux's beaked whale		I
<i>Berardius bairdii</i>	Baird's beaked whale		I
<i>Hyperoodon ampullatus</i>	Northern bottlenose whale		I
<i>Hyperoodon planifrons</i>	Southern bottlenose whale		I
<i>Mesoplodon bidens</i>	Sowerby's beaked whale		II
<i>Mesoplodon bowdoini</i>	Andrew's beaked whale		II
<i>Mesoplodon carlhubbsi</i>	Hubbs' beaked whale		II
<i>Mesoplodon densirostris</i>	Blainville's beaked whale; Dense beaked whale		II
<i>Mesoplodon europaeus</i>	Gervais' beaked whale; Gulf Stream beaked whale		II
<i>Mesoplodon ginkgodens</i>	Ginkgo-toothed whale		II
<i>Mesoplodon grayi</i>	Gray's beaked whale		II
<i>Mesoplodon hectori</i>	Hector's beaked whale		II
<i>Mesoplodon layardii</i>	Strap-toothed whale		II
<i>Mesoplodon mirus</i>	True's beaked whale		II
<i>Mesoplodon (Indopacetus) pacificus</i>	Longman's beaked whale		II
<i>Mesoplodon peruvianus</i>	Pygmy beaked whale		II
<i>Mesoplodon stejnegeri</i>	Stejneger's beaked whale		II
<i>Tasmacetus shepherdii</i>	Shepherd's beaked whale		II
<i>Ziphius cavirostris</i>	Cuvier's beaked whale		II
<b>Beaked Whale HYBRID</b>	<b>Beaked Whale HYBRID</b>		
<b>Carnivora</b>	<b>The Pinnipeds, Bears, Mustelids, etc.</b>		

<b>Pinnipedia</b>	<b>The Seals, Sea Lions and Walrus</b>		
<b>Otariidae</b>	<b>The Eared Seal Family</b>		
<i>Arctocephalus australis</i>	South American fur seal		II
<i>Arctocephalus forsteri</i>	New Zealand fur seal; West Australian fur seal		II
<i>Arctocephalus galapagoensis</i>	Galapagos fur seal		II
<i>Arctocephalus gazella</i>	Antarctic fur seal		II
<i>Arctocephalus philippii</i>	Juan Fernandez fur seal		II
<i>Arctocephalus pusillus</i>	South African fur seal; Cape fur seal		II
<i>Arctocephalus townsendi</i>	Guadalupe fur seal	T	I
<i>Arctocephalus tropicalis</i>	Subantarctic fur seal; Amsterdam Island fur seal		II
<i>Callorhinus ursinus</i>	Northern fur seal (except Pribilof Island population)		
<i>Callorhinus ursinus</i>	Northern fur seal (Pribilof Island population)	D	
<i>Eumetopias jubatus</i>	Steller sea lion; Northern sea lion (Western stock)	E	
<i>Eumetopias jubatus</i>	Steller sea lion; Northern sea lion (Eastern stock)	T	
<i>Neophoca cinerea</i>	Australian sea lion		
<i>Otaria byronia</i>	South American sea lion		
<i>Phocarcos hookeri</i>	Hooker's sea lion		
<i>Zalophus californianus</i>	California sea lion		
<b>Eared Seal (Sea Lion) HYBRID</b>	<b>Eared Seal (Sea Lion) HYBRID</b>		
<b>Phocidae</b>	<b>The True Seal Family</b>		
<i>Cystophora cristata</i>	Hooded seal		
<i>Erignathus barbatus</i>	Bearded seal		
<i>Halichoerus grypus</i>	Gray seal		
<i>Hydrurga leptonyx</i>	Leopard seal		
<i>Leptonychotes weddellii</i>	Weddell seal		
<i>Lobodon carcinophagus</i>	Crabeater seal		
<i>Mirounga angustirostris</i>	Northern elephant seal		
<i>Mirounga leonina</i>	Southern elephant seal		II
<i>Monachus monachus</i>	Mediterranean monk seal	E	I
<i>Monachus schauinslandi</i>	Hawaiian monk seal	D and E	I
<i>Monachus tropicalis</i>	Caribbean monk seal; West Indian monk seal	E	I
<i>Ommatophoca rossii</i>	Ross seal		
<i>Phoca caspica</i>	Caspian seal		
<i>Phoca fasciata</i>	Ribbon seal		
<i>Phoca groenlandica</i>	Harp seal		
<i>Phoca hispida</i>	Ringed seal		
<i>Phoca hispida saimensis</i>	Saimaa seal (subspecies of ringed seal)	E	

<i>Phoca largha</i>	Larga seal; Spotted seal		
<i>Phoca sibirica</i>	Baikal seal		
<i>Phoca vitulina</i>	Harbor seal		
<i>Seal HYBRID</i>	Seal HYBRID		
U.S. Fish and Wildlife Jurisdiction includes the following:			
<b>Odobenidae</b>	<b>The Walrus Family</b>		
<i>Odobenus rosmarus</i>	Walrus		III
<b>Fissipedia</b>	<b>Bears, Otters, etc.</b>		
<b>Ursidae</b>	<b>The Bear Family</b>		
<i>Ursus maritimus</i>	Polar bear		II
<b>Mustelidae</b>	<b>The Otter Family</b>		
<i>Enhydra lutris</i>	Southern sea otter	T	I
<i>Lutra (Lontra) felina</i>	Marine otter	E	I
<b>Sirenia</b>	<b>Manatees and Dugong</b>		
<b>Dugongidae</b>	<b>The Dugong Family</b>		
<i>Dugong dugon</i>	Dugong	E	I/II
<b>Trichechidae</b>	<b>The Manatee Family</b>		
<i>Trichechus inunguis</i>	Amazonian manatee	E	I
<i>Trichechus manatus</i>	West Indian manatee	E	I
<i>Trichechus senegalensis</i>	West African manatee	T	II

Key:

D = Depleted (under the MMPA)

E = Endangered (under the ESA)

R = Recovered (under the ESA; no longer considered threatened or endangered)

T = Threatened (under the ESA)

## **NMFS Regional Offices**

Permits, Conservation and Education Division, Office of Protected Resources, NMFS, 1315 East-West Highway, Room 13705, Silver Spring, MD 20910 (301/713-2289);

Regional Administrator, Alaska Region, NMFS, 709 West 9<sup>th</sup> Street, 4<sup>th</sup> Floor, Juneau, Alaska 99801, (907/586-7221);

Regional Administrator, Northeast Region, NMFS, One Blackburn Drive, Gloucester, Massachusetts 01930, (978/281-9138);

Regional Administrator, Southeast Region, NMFS, 263 13th Avenue South, St. Petersburg, FL 33701, (727-824-5312);

Regional Administrator, Northwest Region, NMFS, 7600 Sand Point Way NE, Bin C15700, Building 1, Seattle, Washington 98115-0070, (206/526-6150);

Regional Administrator, Southwest Region, NMFS, 501 West Ocean Boulevard, Long Beach, California 90802-4213, (562/980-4000);

Protected Species Coordinator, Pacific Islands Regional Office, NMFS, 1601 Kapiolani Boulevard, Suite 1110, Honolulu, Hawaii 96814-4700, (808/973-2937).